

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2010-09-17
2. **Agency:** 429
3. **Bureau:** 00
4. **Name of this Investment:** Time and Labor Modernization (TLM)
5. **Unique Project (Investment) Identifier (UPI):** 429-00-01-01-01-2016-00
6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2008

8.
 - a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

This investment provides for the collection of time & attendance & labor data for approximately 4050 employees & consultants. The purpose of this investment is to perform a modernization of the legacy HRMS T&L system. An alternatives analysis of T&L and subsequent business process improvement studies confirmed the critical need for a T&L investment that supports human capital initiatives and that equally supports the financial and business objectives of the agency. The T&L system satisfies statutory requirements for billing NRC licensees & managing costs associated with collecting fees prescribed by the OBRA-90 and Nuclear Waste Act. The information provides executives with a tool to manage human resources. The data are used for formulating and executing budgets, operations planning, workload planning, managing costs, payroll processing, and performance monitoring. The data are used in analysis and reporting on resource expenditures, and are core to the decision making processes in the agency. The T&L system interfaces with agency enterprise-wide systems, including Federal Financial System, Cost Accounting System, the Reactor Program System, and the Strategic Workforce Planning System. T&L provides NRC with a means to meet the effective internal control objectives of the Federal Managers' Financial Integrity Act. NRC's major financial systems, including T&L Modernization, are used to support NRC's 2 major programs of Nuclear Material and Waste Safety, and Nuclear Reactor Safety. In FY11 and FY12, a three-phased approach for redeployment is underway. The first phase focuses on a technical evaluation of the application and recommended changes as well as the construction of a rebuilt infrastructure. Phase two focuses on comprehensive testing of the functionality and performance. Phase three focuses on conducting user acceptance testing, training. Deployment is dependent on each of these phases being completed successfully.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2010-08-31
- b. **Provide the date of the most recent or planned approved project charter.** 2007-04-13

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** J. E. Dyer
Phone Number: *
Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager assigned but qualification status review has not yet started.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 2

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded	3100	NRCDR0908134	GS35F4543G		*	*	\$0.3	Firm Fixed Price	X	2008-05-21	2011-05-30	N	not required
Awarded	3100	DR0907133	NNG07DA28B		*	*	\$0.0	Firm Fixed Price	X	2007-08-23	2008-08-22	N	not required
Awarded	3100	NRCDR0909317	GS35F0785J		*	*	\$0.8	Labor Hours	Y	2009-01-01	2013-12-31	N	IT documentation and help desk for HRMS

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. no
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. yes

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. on february 11, 2011, t&l modernization sent out a rfi to evaluate the potential use of a cloud service.

3. Provide the date of the most recent or planned Quality Assurance Plan

4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
429-00-01-01-01-2030-00,429-00-01-01-01-2025-00,429-00-01-01-01-1100-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 429-00-01-03-01-2000-00,429-00-01-03-01-2080-00

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2007-06-05

6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated.

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Planning; Business Case, Requirements, IV&V planning, Fit Gap, Gov FTE	DME	*	\$0.8	\$0.5	2006-08-01	2006-08-01	2009-04-03	2009-04-03	100.00%	100.00%
Acquisition, Hardware	DME	*	\$0.2	\$0.1	2007-06-05	2007-05-31	2007-09-30	2007-08-23	100.00%	100.00%
Acquisition Software	DME	*	\$0.5	\$0.6	2007-06-05	2007-05-30	2007-09-30	2007-05-30	100.00%	100.00%
Acquisition Security Support	DME	*	\$0.2	\$0.2	2006-10-01	2006-08-04	2006-12-31	2006-09-30	100.00%	100.00%
Acquisition Tech Support	DME	*	\$0.1	\$0.1	2007-07-01	2007-07-10	2008-09-30	2007-10-01	100.00%	100.00%
Development including Gov FTE	DME	*	\$1.3	\$1.6	2006-10-01	2006-10-01	2010-01-20	2010-01-29	100.00%	90.00%
Construction, Certification and Accreditation	DME	*	\$0.3	\$0.1	2008-07-15	2009-01-21	2010-01-15	2010-03-17	100.00%	90.00%
Team Training	DME	*	\$0.1	\$0.1	2006-09-30	2006-09-30	2009-09-27	2009-08-21	100.00%	90.00%
Staff Training	DME	*	\$0.1	\$0.1	2009-09-01	2009-10-15	2010-01-20		100.00%	40.00%
IV&V Performance Testing	DME	*	\$0.1	\$0.1	2009-09-01	2010-05-03	2009-12-31	2010-06-21	100.00%	90.00%
O&M FY12; (license, help desk, Gov FTE)	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
Security, C&A Update, FY12	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
O&M FY13; (license, help desk, Gov FTE)	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Security, C&A Update, FY13	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
O&M FY14; (license, help desk, Gov FTE)	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
Security, C&A Update, FY14	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
O&M FY15; (license, help desk, Gov FTE)	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
Security, C&A full, FY15	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
O&M FY16; (license, help desk, Gov FTE)	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*
Security, C&A Update, FY16	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*
PeopleSoft 9.0 Upgrade - Project Preparation	DME	*	\$0.1	\$0.1	2010-11-08	2010-11-08	2010-12-17	2010-12-17	100.00%	100.00%
PeopleSoft 9.0 Upgrade - Prepare Environments	DME	*	\$0.1	\$0.0	2010-12-20	2010-12-20	2011-05-10		60.00%	40.00%
PeopleSoft 9.0 Upgrade - C&A Activities	DME	*	\$0.2		2011-03-01		2011-08-26		0.00%	0.00%
PeopleSoft 9.0 Upgrade - Training	DME	*	\$0.1		2011-04-21		2011-09-30		0.00%	0.00%
PeopleSoft 9.0 Upgrade - Functional Testing	DME	*	*	*	2011-05-12	*	2011-09-30	*	*	*
PeopleSoft 9.0 Upgrade - IV&V	DME	*	\$0.3		2010-12-13		2011-09-30		0.00%	0.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Testing										
PeopleSoft 9.0 Upgrade - Go-Live	DME	*	*	*	2011-10-01	*	2011-10-21	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. This project has had many starts, stops, holds and changes in direction. The current plan is to upgrade the current software and maintain it with government FTE's. The new upgraded system will be web-based and include workflow which will reduce paper and manual hard-copy signatures

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.
2011-09-30

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?
yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Mission and Business Results	Compensation Management	% in compliance with federal regulations and policies on payroll and time and labor reporting.	annual	%	Increase	100% in compliance with federal regulations and policies on payroll and time and labor reporting	2010-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Maintain 100% in compliance with federal regulations and policies on payroll and time and labor reporting		Not Due	2010-09-17
			2012	Maintain 100% in compliance with federal regulations and policies on payroll and time and labor reporting		Not Due	2010-09-17
			2013	Maintain 100% in compliance with federal regulations and policies on payroll and time and labor reporting		Not Due	2010-09-17
			2014	Maintain 100% in compliance with federal regulations and policies on payroll and time and labor reporting		Not Due	2010-09-17
			2015	Maintain 100% in compliance with federal regulations and policies on payroll and time and labor reporting		Not Due	2010-09-17
			2016	Maintain 100% in compliance with federal regulations and policies		Not Due	2010-09-17

Table I.E.1a. Performance Metric Attributes							
Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Customer Results	Customer Satisfaction	% of customers satisfied with the Upgraded T&L System		on payroll and time and labor reporting			
			annual	%	Increase	Currently not doing customer survey	2010-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	50% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
			2012	55% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
			2013	65% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
			2014	70% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
			2015	75% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
			2016	80% of Customers satisfied with the upgraded T&L system.		Not Due	2010-09-17
Processes and Activities	Complaints	% of T&L complaints	annual	%	Decrease	Currently not tracking T&L complaints	2010-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Achieve a 50% decrease in T&L complaints		Not Due	2010-09-17
			2012	Achieve a 55% decrease in T&L complaints		Not Due	2010-09-17

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* - Indicates data is redacted.